



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

JIAN LI, ET AL.

Application No.: 09/897,174

Filed: June 29, 2001

For: **LOW-VOLTAGE AND INTERFACE**

DAMAGE-FREE POLYMER MEMORY

DEVICE

Art Group: 2826

Examiner: Thomas L. Dickey

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted before the mailing of a Notice of Allowance. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s). Copies of the references cited on PTO/SB/08 are enclosed herewith.

-1-

The references were cited in a Search Report dated October 22, 2003 (copy enclosed herewith) in a counterpart PCT application.

The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: December 10, 2003

Gregory D. Caldwell, Reg. No. 39,926

12400 Wilshire Boulevard, 7th Floor Los Angeles, CA 90025 Telephone: (503) 684-6200

I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Derek S. Watson

Date

12-10-03

Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

2

Sheet 1 of

(Complete if Known	
Application Number	09/897,174	
Filing Date	June 29, 2001	
First Named Inventor	Jian Li	
Art Unit	2826	
Examiner Name	Thomas L. Dickey	
Attorney Docket Number	42390P10047	

	U.S. PATENT DOCUMENTS							
Document Number		Document Number	Publication Date	Name of Detector or	Pages, Columns, Lines, Where			
Examiner Initials*	Cite No.1	Number - Kind Code² (if known)	or Issue Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Relevant Passages or Relevant Figures Appear			
	1	US-5,890,016	03-30-1999	Tso				
	2	US-6,034,882	03-07-2000	Johnson et al.				
	3	US-6,055,180	04-25-2000	Gudesen et al.				
	4	US-2001/0050869 A1	12-13-2001	Nishikawa et al.				
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	FOREIGN PATENT DOCUMENTS							
Examiner Initials*	Cite No.1	Foreign Patent Document Country Code¹ - Number⁴ - Kind Code†if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages			
	5	WO 99/12170	03-11-1999	Gudesen et al.	or Relevant Figures Appear			
	6	WO 00/42652	07-20-2000	Ishizuka et al.				
	7	EP 1 152 463 A1	11-07-2001	Ishizuka				
	8	WO 02/43071 A1	05-30-2002	Johansson et al.				
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Examiner	Date	
Signature	Considered	

Based on PTO/SB/08A (08-03) as modified by Blakely, Solokoff, Taylor & Zafman (wir) 08/11/2003.

^{*}Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

^{&#}x27;Applicant's unique citation designation number (optional). 'See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. 'Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 'For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. 'Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. 'Applicant is to place a check mark here if English language Translation is attached.

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Sheet 2 of 2

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	Co	Complete if Known						
	Application Number	09/897,174						
	Filing Date	June 29, 2001						
	First Named Inventor	Jian Li						
	Art Unit	2826						
_	Examiner Name	Thomas L. Dickey						
	Attorney Docket Number	42390P10047						

		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No.¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T²
	9	Bune et al., "TWO-DIMENSIONAL FERROELECTRIC FILMS", Nature, Feb. 26 1998, MacMillian Magazines, UK, Vol. 391, No. 6670 pps 874-877	
	10	Bune et al., "NOVEL SWITCHING PHENOMENA IN FERROELECTRIC LANGMUIR-BLODGETT FILMS", Applied Physics Letters, Dec. 25, 1995, AIP USA,	
		Vol. 67, No. 26, pps 3975-3977	

Examiner	Date
Signature	Considered

Based on PTO/SB/08B (08-03) as modified by Blakely, Solokoff, Taylor & Zafman (wir) 08/11/2003. Send To: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

^{*}Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

^{&#}x27;Applicant's unique citation designation number. 'Applicant is to place a check mark here if English language Translation is attached.



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TRANSMITTAL FORM (to be used for all correspondence after initial filing)			Application No.	09/8	97,174		
			Filing Date	June	ine 29, 2001		
			First Named Inventor	Jian	Jian Li		
			Art Unit	2820	í		
			Examiner Name	Tho	mas L. Dickey		
Total Number of F	Pages in This Submiss	ion	Attorney Docket Numb	er 4239	00P10047		
	ENCLO	SURES (chec	k all that apply)	1,			
Fee Transmittal		Drawing(s)			After Allowance Communication to Group		
Fee Attac	hed	Licensing-r	related Papers		Appeal Communication to Board of Appeals and Interferences		
Amendment / Re	esponse	Petition			Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)		
After Fina Affidavits/	ıl /declaration(s)	Petition to 0 Provisional	Convert a Application		Proprietary Information		
Extension of Tin	ne Request	Power of A Change of	ttorney, Revocation Correspondence Addres	ıs 🗆	Status Letter		
Express Abandonment Request			isclaimer		Other Enclosure(s) (please identify below):		
Information Disc	closure Statement	Request for	Request for Refund - Copies o				
PTO/SB/0		CD, Number of CD(s)			- Copy of PCT Search report dated 10/22/03		
Certified Copy o					Return Postcard		
Response to Mis	ssing Parts/ lication	Remarks					
	Filing Fee						
	aration/POA						
Parts und 1.52 or 1.	e to Missing er 37 CFR 53						
	SIGNATUR	E OF APPLICA	NT, ATTORNEY, OR	AGENT			
Firm or	Gregory D. Cal	dwell, Reg. No	o. 39,926		***		
Individual name	BLAKELY, S	OKOLOFF,	TAYLOR & ZAF	MAN	LLP		
Signature							
Date	Date December 10, 2003						
	CERTIF	ICATE OF MAIL	ING/TRANSMISSIO	V			
					ce on the date shown below with .O. Box 1450, Alexandria, VA		
Typed or printed na	ame Derek S. Wa	tson					
Signature	Super	3.400		Date	December 10, 2003		

TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT

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Complete if Known				
Application Number	09/897,174			
Filing Date	June 29, 2001	_		
First Named Inventor	Jian Li			
Examiner Name	Thomas L. Dickey			
Group/Art Unit	2826			
Attorney Docket No.	42390P10047	**		

METHOD OF PAYMENT (check all that apply)	FEE CALCULATION (continued)							
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Order Order	Large	e Entity	ı Sma	II Entity	ı			
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Account Number 02-2666	1051	130	2051	65	Surcharge - late filing	g fee or oath		
Deposit	1052	50	2052	25	Surcharge - late prov cover sheet.	visional filing fee or	•	
Account Name Blakely, Sokoloff, Taylor & Zafman LLP	2053	130	2053	130	Non-English specific	ation		
The Commissioner is authorized to (check all that apply)	1812	2,520	1812	2,520	For filing a request for		ination	
Charge fee(s) indicated below Credit any overpayments	1804	920*	1804	920 1	 Requesting publication 	on of SIR prior to		
Charge any additional fee(s) required under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20	1005	1 040 *	4005	1 040 '	_	on of CID offer		
Charge fee(s) indicated below, except for the filing fee	1805	1,840*	1805	1,840	Requesting publicati Examiner action	on or six aiter		
to the above-identified deposit account	1251	110	2251	55	Extension for reply w	ithin first month		
FEE CALCULATION	1252	420	2252	210	Extension for reply w	ithin second month	1	
1. BASIC FILING FEE	1253	950	2253	475	Extension for reply w	ithin third month		
Large Entity Small Entity	1254	1,480	2254	740	Extension for reply w	ithin fourth month		
Fee Fee Fee Fee <u>Fee Description</u> Fee Paid Code (\$)	1255	1,210	2255	605	Extension for reply w	ithin fifth month		
	1404	330	2401	165	Notice of Appeal			
1001 770 2001 385 Utility filing fee 1002 340 2002 170 Design filing fee	1402	330	2402	165	Filing a brief in supp	ort of an appeal		
1003 530 2003 265 Plant filing fee	1403	290	2403	145	Request for oral hea	ring		
1004 770 2004 385 Reissue filing fee	1451	1,510	2451	1,510	Petition to institute a	public use proceed	ding	
1005 160 2005 80 Provisional filing fee	1452	110	2452	55	Petition to revive - ur	navoidable		
SUBTOTAL (1) (\$)	1453	1,330	2453	665	Petition to revive - ur	nintentional		
	1501	1,330	2501	665	Utility issue fee (or re	eissue)		
2. EXTRA CLAIM FEES _{Extra} Fee from	1502	480	2502	240	Design issue fee			
Claims below Fee Paid		640	2503	320	Plant issue fee			
Independent 29 = X	1460	130	2460	130	Petitions to the Com			
Claims 4 - X = X = X Multiple Dependent	1807	50	1807	50	Processing fee under			
	1806	180	1806	180	Submission of Inform		otmt	
Large Entity Small Entity Fee Fee Fee Fee Fee Description	8021	40	8021	40	Recording each pate property (times num			
Code (\$) Code (\$)	1809	770	1809	385	Filing a submission a	fter final rejection		
1202 18 2202 9 Claims in excess of 20					(37 CFR § 1.129(a))			
1201 86 2201 43 Independent claims in excess of 3	1810	770	2810	385	For each additional in examined (37 CFR §			
1203 290 2203 145 Multiple Dependent claim, if not paid	1801	770	2801	385	Request for Continue	,	CE)	
1204 86 2204 43 **Reissue independent claims over original patent	1802	900	1802	900	Request for expedite	,	,	<u> </u>
1205 18 2205 9 **Reissue claims in excess of 20 and over	l	e (specify)	1	500	of a design application			
original patent	0	(0000)						
SUBTOTAL (2) (\$)			. F::: =	· P			B722	
**or number previously paid, if greater, For Reissues, see below	Reduce	ed by Basic	: Hung F	ee Paid	1	SUBTOTAL (3)	(\$)	
SUBMITTED BY						Como	lete (if applica	able)
Name (Print/Type) Gregory D. Caldwell	R	egistratio	on No.		39,926	Telephone	(503) 684	
Gregory D. Caldwell	(A	ttorney/Age	ent)			relephone	<u> </u>	
Signature						Date	12/10	0/03